CARGO SEALS POLICY AND PROCEDURES

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ABSTRACT: This document determines the cargo seals policy and procedures to be followed by U.S. Area Distribution employees to achieve security of Digital products in transit.

APPLICABILITY: This document applies to all U.S. Area Distribution facilities that distribute products by land, air, or sea. Distribution managers, drivers, shippers and receivers, and security personnel are among those individuals who must implement these procedures.

STATUS: APPROVED 04-Dec-1989; use VTX SMC for current status.

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CONTENTS

1 INTRODUCTION 1
1.1 SCOPE 1
1.2 DEFINITIONS 1
1.3 RESPONSIBILITIES 1

2 CARGO SEAL STANDARDS 2
2.1 HIGH SECURITY SEALS 2
2.2 LOW SECURITY SEALS 3
2.3 PADLOCKS 4
2.4 TRAILER KINGPIN 5

3 POLICIES 6

4 PROCEDURES 6
4.1 CONTROL OF SEALS AT A DIGITAL LOCATION 6
4.1.1 Purchasing Seals 6
4.1.2 Storage of Seals 7
4.1.3 Control of Seals 7
4.1.4 Seal Application - Outbound 7
4.1.5 Record Keeping 7
4.2 CONTROL OF SEALS - INBOUND 8
4.2.1 Seal Removal 8
4.2.2 Record Keeping 8
4.2.3 Seal Damage/Violation Reporting 9
4.3 CONTROL OF SEALS - INTRANSIT 9
4.3.1 Removal/Replacement of Seals - Intransit 11
4.3.2 Reporting Procedure - Point of Destination 12
4.4 USE OF PADLOCKS 12
4.4.1 Standard For Padlocks 12
4.4.2 Issue and Accountability 13
4.5 USE OF TRAILER KINGPIN AND COLLAR LOCKS 13
4.5.1 Issue and Accountability 13

FIGURES

1 Aardee "Jugger" Swivel Seal 2
2 Low Security Seal 3
3 Best Padlock 4
4 Best Trailer Kingpin 5
5 Driver’s Broken Seal Report Form 10

1 INTRODUCTION

The purpose of a cargo seal is to provide a form of security that, when tampered with, reveals evidence of entry (or attempted entry) into a cargo container.

A well-established seal program, along with other security measures taken by our Distribution Center and Fleet Operations management, will enhance control of cargo and provide secure accountability to our product management, manufacturing, and sales groups who have chartered Corporate Distribution to process and transport their cargo through the distribution and inter-plant network.

1.1 SCOPE

This document applies to all U.S. Distribution and Transportation Network Operations.

1.2 DEFINITIONS

- **High Security Seal**— Aardee "JUGGER" Swivel Seal, which is to be used on all domestic and international multi-model shipments being moved over 150 miles, during after-hours "drop and hook" operations, or through known high-crime areas.
- **Low Security Seal**—A metal-plated or aluminum strap (or ball) type seal used on fully loaded trailers and containers being transported under 150 miles, and under conventional seal conditions through or near low-crime areas.
- **Point-to-Point**—The traveling of a fully loaded trailer from one location to another, such as from one Digital facility to another Digital facility, or from a Digital facility to a vendor. The length or time of travel is inconsequential.

1.3 RESPONSIBILITIES

It is the joint responsibility of site security, transportation, and distribution managers to develop, publish, and implement a procedure for the issuance, use, and auditing of trailer and container seals at their site.

It is the responsibility of the U.S. Area Distribution Security manager to provide general direction for the implementation, management, and auditing of the trailer and shipping container seal program.

2 CARGO SEAL STANDARDS

2.1 HIGH SECURITY SEALS

The following seal is to be used to protect high value cargo on all domestic and international multi-model shipments being transported over 150 miles, during after-hours "drop and hook" operations, and/or through known high-crime areas.

SEAL STANDARD:	Aardee "JUGGER" Swivel Seal
SPECIFICATION:	Heavy-duty, bolt-type 3/8-inch hardened steel pin 6-sided hex steel body One-way locking spring mechanism Zinc-plated, with yellow brass finish Pull-to-destruction tests to a strength of 2 to 4 tons PSI
MARKING STANDARD SPECIFICATION:	All Digital seals will be marked as follows, to identify outbound shipping locations, matching facility code to site code, such as DECNR = Northboro, DECMR = Marlboro, and DECNQ = PS&G. These "alpha prefixes" will be followed by sequential numbers as indicated below.
MARKING SAMPLES:	DECNR1234 DECMR1234 DECNQ1234 NOTE: These sequential numbers will not be duplicated from order to order. Subsequent orders will be sequentially numbered from the last issue of coded numbers, by site location. For accountability and control, the vendor will maintain a record of all serial numbers issued to Digital, and the names of Digital purchasing agents who have been authorized to order seals from his company.
SUPPLIER:	Aardee Lock Company, Ltd. 3 Industrial Drive P.O. Box 604 Kirkland Lake, Ontario, Canada P2N3J5 Telephone: (705) 567-7600 Contact: George Dunkan, Vice President

Figure 1: Aardee "Jugger" Swivel Seal

Insert Aardee "Jugger" Swivel Seal Figure here.

2.2 LOW SECURITY SEALS

The following seal is to be used on fully loaded trailers and/or containers used for transporting Digital products under 150 miles, and under conventional seal conditions.

SEAL STANDARD:	Metal-plated, or aluminum strap (or ball) type.
SPECIFICATION:	Self-locking Tamper resistant 3/8-inch wide Must meet U.S. Customs approval (Most large U.S. seal manufacturers and distributors meet these standards and specifications.)
MARKING STANDARD SPECIFICATION:	As mentioned above, all Digital seals will be marked as follows, to identify outbound shipping locations, matching Digital Equipment Corporation to its facility codes, then to its site codes, such as DECNR = Northboro, DECMR = Marlboro, etc. These "alpha prefixes" will also be followed by sequential numbers as indicated below.
MARKING SAMPLES:	DECNR1234 DECMR1234

NOTE: As with High Security Seals, duplication of these numbers is not allowed, and subsequent orders will be sequentially numbered from the last issue of coded numbers, by site location. The vendor is also required to maintain accurate records of serial numbers issued to Digital and the names of Digital purchasing agents who are authorized to buy these seals from his company.

Figure 2: Low Security Seal

Insert Low Security Seal Figure here.

2.3 PADLOCKS

The following padlock is to be used for transporting Digital products on local deliveries with multiple stops. See subhead 4.4 for details on padlock procedures.

PADLOCK STANDARD: All padlocks will be of the Best Lock Corporation type, having 7 pin removable cores, and keyed individually for issuing, control, and accountability.

To ensure mandatory locking after each use, and to preclude loss of the key when not in use, all lock cores must have the key retention feature.

CASE: Machined from solid extruded brass

Width—2 inches

Length—2 $\frac{1}{4}$ inches

Thickness— $\frac{55}{64}$ inch

SHACKLE: The shackle locks at both heel and toe. The length of the shackle opening is measured from the top of the case to the inside of the shackle when the padlock is closed.

Material—Steel shackles only, special alloy, through hardened for added resistance to various types of forcible entry—multiple plated for wear and corrosion protection.

Diameter— $\frac{3}{8}$ inch

Width of opening—1 $\frac{1}{32}$ inch

Shackle Pull Strength— exceeds 8,000 pounds

CORE AND KEYS: Each padlock order includes core and two keys masterkeyed to customer's request. Locks may be keyed individually, keyed alike, masterkeyed or grand-masterkeyed with other Best locks of any type. Please specify keying with order.

Key Material—Nickel/Silver

Core Material—Solid Brass

Figure 3: Best Padlock

Insert Best Padlock Figure here.

2.4 TRAILER KINGPIN

The following kingpin is to be used to protect Digital property when left unattended at the dock, or during temporary storage in any terminal yard (except when secure storage is available).

KINGPIN STANDARD:	All kingpins will be of the Best Lock Corporation type, having 7 pin removable cores, and keyed individually for issuing, control, and accountability. To ensure mandatory locking after each use, and to preclude loss of the key when not in use, all lock cores must have the key retention feature.
SPECIFICATION:	Best 2J-L11 Trailer Pin Lock Assembly (Single Cylinder Style - Armored Front)

Figure 4: Best Trailer Kingpin

Insert Best Trailer Kingpin Figure here.

3 POLICIES

- Approved cargo seals must be used on all trailers and cargo containers used for transporting Digital products, especially high end VAX products.
- Cargo Seal numbering/marking schemes, whether generated by Digital or a vendor of Digital, shall be unique and nonrepetitive.
- All Cargo seals, whether new or used, are to be controlled through a logging system (manually supported electronic system preferred) that provides a clearly defined and positive audit trail from manufacturer to final disposal.
- All point-to-point fully loaded trailers are required to be sealed with high or low security seals.
- All point-to-point fully loaded containers or trailers containing Digital products for international transport must be sealed only with high security seals.

4 PROCEDURES

These procedures are intended to furnish implementation groups with general direction on what to look for in a trailer and shipping container seal program, and how it is managed.

Seals provide an accountability process for the transportation of goods, and should be considered as such. Seals are not foolproof devices that will guarantee stoppage of theft or pilferage. They are an added control for accountability of Digital products being staged and moved through our transportation networks.

4.1 CONTROL OF SEALS AT A DIGITAL LOCATION

The following procedures should be used to maintain control over all seals, which must be properly purchased, stored, issued, applied at a Digital facility, and checked only by an authorized person.

4.1.1 Purchasing Seals

- The purchasing of seals should be limited to only one authorized person.
- All seal orders should originate from one predetermined location for accountability, authenticity, and control.
- The seal manufacturer should be instructed to ship seals to one specific person, who will be responsible for managing and accounting for the seals.

The following additional safeguards should be instituted in the purchasing of high security seals.

- For security purposes, all seal orders will be forwarded to Aardee by way of Facsimile, with authenticity follow-up in hard copy (Facsimile #705-568-8368).
- Do not indicate seal numbers to be processed to the vendor. For security purposes, control and authenticated numbers will be assigned by the vendor. Each facility will have numbers assigned based on the sequence of its last order.

NOTE

This security process will be audited by Digital Kanata Purchasing for compliance to security and basic order criteria.

4.1.2 Storage of Seals

- All seals will be kept in a secure area and/or a locked cabinet for accountability and control at all times.

4.1.3 Control of Seals

- A seal control ledger will be established for accountability of high- and low-security seals.
- Designated personnel will be responsible for the control, accountability, and issue of all facility high- and low-security seals.
- A business quarterly seal audit program will be established for accountability and control of all facility seals.

4.1.4 Seal Application - Outbound

- Seal all openings on trailers and/or containers, running the strap through the hasp only once. (If the strap is run through the hasp more than once, lettering becomes illegible.)
- Listen for the "click" when inserting the strap of the seal into the flag piece (nut or ball type and piece).
- To ensure positive seal, pull the seal strap and twist the flag section that was inserted into the locking mechanism.

4.1.5 Record Keeping

A hard binder ledger must be maintained for outbound seal record keeping. Loose-leaf bindings, such as 3-ring binders, should not be used for bookkeeping purposes, since pages can become lost or can be easily removed by unauthorized persons.

The Outbound Freight Log must contain the following information.

- Date and time seal was applied
- Trailer/Container number
- Load destination
- Name of person applying the seal
- Driver’s name
- Carrier’s company name (when needed)

The goods/inventory count and seal application must be made in the presence of the shipper. Also, the applier should enter the seal number on the bill of lading or shipping order.

4.2 CONTROL OF SEALS - INBOUND

It is imperative that, prior to taking any action on inbound freight, all seals be carefully inspected for tampering **prior to removal** and **before off-loading**.

4.2.1 Seal Removal

Upon completion of the visual inspection, apply the following routines to remove and record the removal of each seal.

- Only selected persons are allowed to remove seals from trailers and freight containers.
- Prior to removing a seal, pull and twist it to ensure that it has not been violated, shortened, and falsely re-sealed.

NOTE

If the seal appears to have been violated, place a temporary "guard" (responsible person) at the trailer or container, allowing no one to touch it. Then contact security and begin reporting procedures as in subhead 4.2.3. Then proceed with seal removal under security supervision.

- Using a bolt/cable cutting tool, remove the seal(s) in the prescribed fashion, preserving the identity and coding thereon.
- Seals so removed may be discarded after all descriptional data has been recorded.

NOTE

Drivers are not to be allowed access to bolt/cable cutting tools. (See subhead 4.3 for the only authorized exceptions.)

4.2.2 Record Keeping

The Logbook used for the recording of inbound cargo seals is to be maintained as a separate and clearly identifiable record from that which is used for the recording of outbound cargo seals.

If the seal has not been violated, enter receipt of seal(s), and related cargo, as follows.

- Compare the name, serial number, and all coding information appearing on the seal with the corresponding shipping documents, such as the manifest, bill of lading, etc., then record:
  - — The name of the person who removed the seal(s)
  - — Serial number(s) of seal(s)
  - — Seal strap number and bolt number (if a High Security Seal)
  - — All facility coding information

If the seal has been violated, enter the information requested above, plus discrepancy information (adequate to define condition of violated seal(s) when received, and actions taken to report the occurrence).

4.2.3 Seal Damage/Violation Reporting

Whether seal damage or violation is actual or suspected, guard the trailer/container as mentioned in subhead 4.2.1; request assistance from security; record the information in the logbook; and take the following steps to complete the reporting procedure.

- Report all discrepancies to the lead receiver who has responsibility for processing such information.
- File a security report before the end of a shift (especially when suspected theft has occurred).
- In those instances where suspected theft has occurred, follow through with security, or local police, to ensure that appropriate claim forms are sent with their reports to the Loss and Recovery Department, at Corporate Distribution, NR04.

4.3 CONTROL OF SEALS - INTRANSIT

When a trailer or shipping container is released by the shipper, it is sealed and released to the temporary custody of a Digital or Digital-designated carrier. In the event a seal should be violated, or needs to be removed while in transit, the following procedures must be used to report the occurrence, and subsequent actions taken to protect Digital property while in the custody of the Carrier. See Figure 5.

Figure 5: Driver's Broken Seal Report Form

Insert Drivers Broken Seal Report Form here.

4.3.1 Removal/Replacement of Seals - Intransit

Removal of Seals - on the Road

If it is necessary to remove seals on an intransit shipping container/trailer, a heavy duty bolt or cable cutting tool is required. Under normal conditions, drivers are not allowed to have this tool in their possession. However, under certain abnormal conditions, they are allowed to obtain and use this tool, for example:

- The driver believes the cargo needs checking before proceeding on his trip, because he suspects that the interior of the container/trailer has been damaged, such as by a loose load.
- The driver notices exterior damage to the cargo container, and believes the container should be unsealed to determine whether cargo has been damaged.
- The container/trailer has been damaged in a road accident, and the cargo must be transferred to another container/trailer to prevent further damage, or theft. To effect the transfer, the seal must be removed.
- The seal has been damaged or violated, and must be removed and replaced to protect cargo.

NOTE

Since all seals must be accounted for, the driver must submit original seals with incident reporting paperwork. (For further instructions, see Figure 5.)

Replacement of Seals - on the Road

Whenever possible, removal of seals under above conditions must be witnessed, all seals must be accounted for (by seal number, with date/time/place of removal, name of driver who removed the seal, and name of witness), and new seals (heavy duty padlocks are acceptable) must be applied prior to proceeding with subsequent transport of cargo. Application of a new seal must be recorded (by date, time, place, serial number, driver's name) and, as soon as possible, a Digital three-part "Broken Seal Report Form" must be completed and submitted to Digital's Corporate Distribution management. Also, a Broken Seal Report must be filed with the Terminal Distribution Center Manager at the outbound location, regardless of how far the driver is from the point of origin.

Replacement of Seals - at a Terminal

When a violated or missing seal is noticed at a Cargo Terminal, the following routines should be applied.

- Advise the storage yard Security or management of findings (including details of any discrepancies or potential losses) as soon as possible, then follow up with a security report if it is determined that theft or pilferage has occurred.
- Upon completion of inspection, request that a storage yard seal be applied.
- If the storage yard or terminal does not have a seal, the driver should apply a heavy duty padlock in the presence of a witness. Then both the driver and the witness must sign the shipping documents, indicating date and time of occurrence.

NOTE

Some terminal yards will provide an escort to the cargo destination point, if the distance is not unreasonable. An escort should be requested, if applicable.

Replacement of Seals - at Customs

If seals are broken during a Customs inspection, the seal must be removed and replaced with a replacement seal or padlock, and the action reported. The original broken or violated seal must be accounted for and must be turned in at the point of destination with the Broken Seal Report (as mentioned above). The Broken Seal Report must show:

- Name of person breaking the seal
- Reason for breaking the seal
- Time and date the seal was broken
- Name(s) of witnesses to the action

4.3.2 Reporting Procedure - Point of Destination

When advised of an intransit seal problem, the following actions should be taken upon arrival of the carrier at the point of destination.

- Advise the dispatcher of the incident and request immediate off-loading of the trailer.
- Request the assistance of a security officer, or person responsible for receiving security, to verify off-loading counts. During off- loading operations, record time of arrival, inbound seal number, seal breaking time, and description of shortages/overages (if any).
- If there is suspected theft or pilferage, a security report must accompany any claims to Digital Loss and Recovery.
- It is the responsibility of the Digital receiving facility to notify the Loss and Recovery Group and the equipment owner/group of any damage or cargo shortages.
- Any discrepancies such as damages or shortages must be entered in the receiving log, under the title of "Notations and Comments".
- Concealed shortages must be reported to security for investigation, and a formal claim must be filed with the Digital security report within five days of cargo delivery.

4.4 USE OF PADLOCKS

The purpose of a seal is to protect cargo being moved over long distances. The basic function of a padlock is to secure cargo being transported over (generally) short distances, such as local deliveries. The following standards and procedures should be implemented to ensure that the correct part is purchased and used effectively to support our security seal/lock program.

4.4.1 Standard For Padlocks

All padlocks will be of the Best Lock Corporation type, having 7 pin removable cores, and keyed individually for issuing, control, and accountability.

To ensure mandatory locking after each use, and to preclude loss of the key when not in use, all lock cores must have the key retention feature.

4.4.2 Issue and Accountability

For issuance and accountability purposes, all padlocks and keys will be controlled and issued by Digital security departments. Management of padlocks and keys will be accomplished through implementation of the following procedures.

- Assign padlocks to specific drivers.
- Maintain a Lock/Key Control Log, showing date and time of issuance, lock and key number(s), and name of driver who received the lock/key.
- Restrict issuance of sub-master keys to only specific individuals (those who have an absolute need in the performance of their duties).
- Issue replacement keys/locks only upon receipt of all parts being replaced, including matching keys or locks (includes malfunctioning parts, severed parts, or broken parts).

4.5 USE OF TRAILER KINGPIN AND COLLAR LOCKS

All trailers containing Digital property should be sealed (or padlocked) and kingpinned when left unattended at the dock, or during temporary storage in any terminal yard, except when secure storage is available.

Trailer kingpin locks provide excellent protection against theft of the trailer, when:

- Loaded trailers are unattended at facility docking areas.
- There is a road emergency requiring separation of the tractor and trailer.
- Loaded trailers are left in unattended facility yards or lots.

4.5.1 Issue and Accountability

Shipping and receiving management at each facility should carefully evaluate the need for kingpin/ collar locks within their areas of responsibility, and include these devices in their overall facility security plan. When using these devices, the following precautions should be observed.

- Only authorized persons will have access to this equipment and be allowed to use it under controlled conditions.
- This equipment could cause extensive damage to a tractor and trailer, if hook-up is attempted when the device is in use. Therefore, the device must be clearly marked, or obvious signs posted, warning drivers when the device is in use.
- As with all lock assemblies, prolonged exposure to weather can cause malfunction (rust, freezing, and so forth) of its critical parts; therefore, periodic maintenance is required to keep it in good operating condition.

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